

12-15-00

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PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box → ☐

Approved for \_\_\_\_\_ through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 85CF-00104  |
| First Inventor         | Christopher D. Johnson  |
| Title                  | METHODS AND SYSTEMS FOR QUANTIFYING CASH FLOW RECOVERY AND RISK |
| Express Mail Label No. | EL319733598US   |

12/14/00  
1c600 U.S. PTO

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Application claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [ Total Pages  ]  
(Preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [ Total Sheets  ]
5. Oath or Declaration [ Total Pages  ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee) ☒ (For Identification Purposes Only)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (If foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Mailing By Express Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|  |  |   |                |   |                |
|--|--|---|----------------|---|----------------|
| <input type="checkbox"/> Customer Number or Bar Code Label |  | (Insert Custom No. or Attach bar code label here) |                | or <input checked="" type="checkbox"/> Correspondence address below |                |
| Name   | John S. Beulick, Reg. No. 33,338                           |   |                |   |                |
| Address  | Armstrong Teasdale LLP<br>One Metropolitan Sq., Suite 2600 |   |                |   |                |
| City   | St. Louis  | State   | Missouri       | Zip Code  | 63102          |
| Country  | US   | Telephone   | (314) 621-5070 | Fax   | (314) 621-5065 |

|                   |                   |                                   |             |
|-------------------|-------------------|-----------------------------------|-------------|
| Name (Print/type) | Robert E. Slenker | Registration No. (Attorney/Agent) | 45,112      |
| Signature         |                   | Date                              | 14-DEC-2000 |

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1c675 U.S. PTO  
09/736782  
12/14/00

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete If Known**

Application Number

Filing Date

First Named Inventor

Christopher D. Johnson

Group Art Unit

Examiner Name

TOTAL AMOUNT OF PAYMENT

(\$ 746.00)

Attorney Docket Number

85CF-00104

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

01-2384

Deposit  
Account  
Name

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status.  
See 37 CFR 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|----------------------|-----------------------|----------------------|-----------------------|------------------------|----------|
| 101                  | 710                   | 201                  | 355                   | Utility Filing Fee     | \$710.00 |
| 106                  | 320                   | 206                  | 160                   | Design Filing Fee      |          |
| 107                  | 490                   | 207                  | 245                   | Plant Filing Fee       |          |
| 108                  | 710                   | 208                  | 355                   | Reissue filing Fee     |          |
| 114                  | 150                   | 214                  | 75                    | Provisional Filing Fee |          |
| SUBTOTAL (1)         |                       |                      |                       |                        | \$710.00 |

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra<br>Claims | Fee From<br>Below | Fee Paid |
|--------------------|-----------------|-------------------|----------|
| 27                 | -20**           | 2                 | 18       |
| Independent Claims | 3               | -3*               | 0        |
| Multiple Dependant |                 |                   |          |

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description   |
|----------------------|-----------------------|----------------------|-----------------------|---|
| 103                  | 18                    | 203                  | 9                     | Claims in excess of 20                                    |
| 102                  | 80                    | 202                  | 40                    | Independent claims in excess of 3                         |
| 104                  | 270                   | 204                  | 135                   | Multiple dependent claim, if not paid                     |
| 109                  | 80                    | 209                  | 40                    | **Reissue independent claims over original patent         |
| 110                  | 18                    | 210                  | 9                     | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

\$36.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description  | Fee Paid |
|----------------------|-----------------------|----------------------|-----------------------|--|----------|
| 105                  | 130                   | 205                  | 65                    | Surcharge - late filing fee or oath  |          |
| 127                  | 50                    | 227                  | 25                    | Surcharge-late provisional filing fee or cover sheet                       |          |
| 139                  | 130                   | 139                  | 130                   | Non-English specification  |          |
| 147                  | 2520                  | 147                  | 2520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                  | 920*                  | 112                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113                  | 1840*                 | 113                  | 1840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115                  | 110                   | 215                  | 55                    | Extension for reply within first month                                     |          |
| 116                  | 390                   | 216                  | 195                   | Extension for reply within second Month                                    |          |
| 117                  | 890                   | 217                  | 445                   | Extension for reply within third month                                     |          |
| 118                  | 1390                  | 218                  | 695                   | Extension for reply within fourth month                                    |          |
| 128                  | 1890                  | 228                  | 945                   | Extension for reply within fifth month                                     |          |
| 119                  | 310                   | 219                  | 155                   | Notice of Appeal   |          |
| 120                  | 310                   | 220                  | 155                   | Filing a brief in support of an appeal                                     |          |
| 121                  | 270                   | 221                  | 135                   | Request for oral hearing   |          |
| 138                  | 1510                  | 138                  | 1510                  | Petition to institute a public use proceeding                              |          |
| 140                  | 110                   | 240                  | 55                    | Petition to revive - unavoidable   |          |
| 141                  | 1240                  | 241                  | 620                   | Petition to revive - unintentional   |          |
| 142                  | 1240                  | 242                  | 620                   | Utility issue fee (or reissue)   |          |
| 143                  | 440                   | 243                  | 220                   | Design issue fee   |          |
| 144                  | 600                   | 244                  | 300                   | Plant issue fee  |          |
| 122                  | 130                   | 122                  | 130                   | Petitions to the Commissioner  |          |
| 123                  | 50                    | 123                  | 50                    | Petitions related to provisional applications                              |          |
| 126                  | 180                   | 126                  | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581                  | 40                    | 581                  | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146                  | 710                   | 246                  | 355                   | Filing a submission after a final rejection (37-CFR 1.129(a))              |          |
| 149                  | 710                   | 249                  | 355                   | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 179                  | 710                   | 279                  | 355                   | Request for Continued Examination (RCE)                                    |          |
| 169                  | 900                   | 169                  | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3)

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)

Robert E. Slenker

Registration No.  
(Attorney/Agent)

45,112

Telephone

(314) 621-5070

Signature

Date

14-DEC-2000

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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THE COMMISSIONER OF PATENTS AND TRADEMARKS

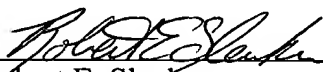
Express Mail mailing label number: **EL319733598US**

Date of Mailing: **December 14, 2000**

I certify that the attached utility patent application claiming the benefit of Provisional Application Serial No. 60/173,843 filed December 30, 1999 of **CHRISTOPHER D. JOHNSON et al.** for **METHODS AND SYSTEMS FOR QUANTIFYING CASH FLOW RECOVERY AND RISK**, including:

- Utility Patent Application Transmittal (1 pg)
- Fee Transmittal (in duplicate) (1 pg)
- Thirty-six (36) pages of specification; four (4) pages of claims; and one (1) page of abstract
- Nine (9) sheets of drawings
- Declaration and Power of Attorney (3 pgs.) (For Identification of Inventors Only)
- Certificate of Mailing Via Express Mail (1 page)
- Return post card

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to the Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.

  
Robert E. Slenker  
Reg. No. 45,112  
Armstrong Teasdale LLP  
One Metropolitan Square, Suite 2600  
St. Louis, MO 63102  
314-621-5070

09736782-121400